

PATENT  
Customer No. 22,852  
Attorney Docket No. 8828.0001-00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In re Application of:**

# Úlfar Erlingsson

Application No.: 10/082,591

Filed: February 22, 2002

For: ALTERED STATES OF  
SOFTWARE COMPONENT  
BEHAVIOR

Group Art Unit: 2151

Examiner: Not Yet Assigned

Commissioner for Patents  
Washington, DC 20231

**Sir:**

### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicant brings to the attention of the Examiner the documents listed on the attached PTO 1449. To the best of our knowledge, this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application. Copies of the listed documents are attached.

Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and Applicant determines

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
[www.finnegan.com](http://www.finnegan.com)

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that the cited documents do not constitute "prior art" under United States law, Applicant reserves the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

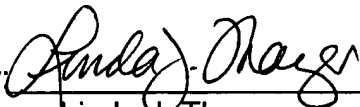
Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: August 15, 2002

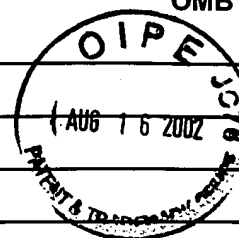
By   
Linda J. Thayer  
Reg. No. 45,681

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

## INFORMATION DISCLOSURE CITATION

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Applicant	Úlfar Erlingsson		
Filing Date	February 22, 2002	Group:	2151



Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,263,147	11/16/93	Francisco et al.			
	5,761,477	06/02/98	Wahbe et al.			
	5,828,893	10/27/98	Wied et al.			
	5,845,129	12/01/98	Wendorf et al.			
	5,913,024	06/15/99	Green et al.			
	5,915,085	06/22/99	Koved			
	5,918,018	06/29/99	Gooderum et al.			
	6,023,721	02/08/00	Cummings			
	6,167,520	12/26/00	Touboul			

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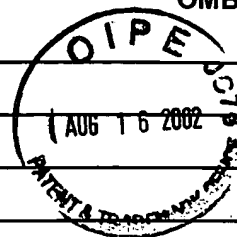
Technology Center 2100

Examiner Initial*	Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Anurag Acharya, et al., "MAPbox: Using Parameterized Behavior Classes to Confine Untrusted Applications", Proceedings of the 9 <sup>th</sup> USENIX Security Symposium, August 14-17, 2000, 17 pages.
	Barry Boehm, "Managing Software Productivity and Reuse," University of Southern California, September 1999, pages 111-113.
	P. Deutsch, et al., "A Flexible Measurement Tool for Software Systems," Information Processing (Proceedings of the IFIP Congress), 1972, pages 320-326.
	Guy Edjlali, et al., "History-based Access Control for Mobile Code," 5 <sup>th</sup> Conference on Computer & Communications Security, 1998, pages 38-48.
	Úlfar Erlingsson, et al., "IRM Enforcement of Java Stack Inspection," IEEE, 2000, 10 pages .
	Úlfar Erlingsson, et al., "SASI Enforcement of Security Policies: A Retrospective," Department of Computer Science, Cornell University, pages 87-95.
	David Evans, et al., "Flexible Policy-Directed Code Safety," MIT Laboratory for Computer Science, IEEE, 1999, 14 pages.
	Timothy Fraser, et al., "Hardening COTS Software with Generic Software Wrappers," TIS Labs at Network Associates, Inc., IEEE, 1999, 15 pages.
	Ian Goldberg, et al., "A Secure Environment for Untrusted Helper Applications (Confining the Wily Hacker)," Proceedings of the Sixth USENIX UNIX Security Symposium, July 1996, 14 pages.

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Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Robert P. Goldberg, "Survey of Virtual Machine Research," IEEE Computer, June 1974, Vol. 7, No. 6, pages 34-45.
	Manoj Lal, et al., "A Scheduling Scheme for Controlling Allocation of CPU Resources for Mobile Programs," University of California, Davis, August 31, 1999, pages 1-33.
	Jerome H. Saltzer, et al., "The Protection of Information in Computer Systems", Proceedings of the IEEE 63, Sept. 1975, 30 pages.
	Robert Wahbe, et al., "Efficient Software-Based Fault Isolation," Computer Science Division, University of California, SIGOPS, 1993, pages 203-216.

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce